

Attorney Docket No. 3001 P 009



26962

PATENT & TRADEMARK OFFICE

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Re Continuation Patent Application Of:

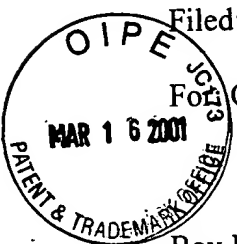
Kenneth Kiron and Kevin S. Bander

Application No.: 09/579,801

Confirmation No.: 8044

Filed: May 26, 2000

For Open End Mutual Fund Securitization Process)



AMENDMENT TRANSMITTAL

Box Patent Application

Fee

Commissioner For Patents

Washington, D.C. 20231

Transmitted herewith is a Second Preliminary Amendment in the above-identified Application. Applicant is a small entity. A Statement was already filed. The proceedings herein are for a patent application and the provisions of 37 C.F.R. § 1.136 apply.

The fee for the Amendment has been calculated as shown below:

				Small Entity		Other Than Small Entity	
	Claims Remaining After Amendment	Highest Number Previously Paid For	Present Extra	Rate	Additional Fee	Rate	Additional Fee
Total	16	- 23	= 0	x \$ 9	\$0	x \$ 18	\$0
Independent	5	- 4	= 1	x \$ 40	\$40	x \$ 80	\$0
First Presentation of Multiple Dependent Claims				x \$135	\$0	x \$270	\$0
TOTAL ADDITIONAL FEE							\$40

X Check No. 7749 in the amount of \$40 is attached.

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-0280. A duplicate copy of this sheet is attached.

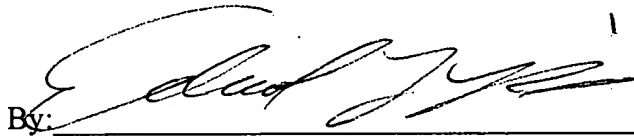
X Any filing fees under 37 C.F.R. 1.16 for the presentation of extra Claims.

Respectfully submitted,

Date:

3/13/01

By:



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CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Box Patent Application, Fee, Commissioner For Patents, Washington, D.C. 20231 on

3/13/01

Kathleen Rundquist
Kathleen Rundquist/117529.1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Continuation Patent Application Of:
Kenneth Kiron and Kevin S. Bander

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) Group Art Unit: 2761

Application No.: 09/579,801

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Fee
Commissioner For Patents
Washington, D.C. 20231

Handwritten notes:
#12/B
under
4/5/03

SECOND PRELIMINARY AMENDMENT

Dear Sir:

Before examination, please amend the instant Application as follows.

03/19/2001 FFANAEIA 00000024 09579801

01 FC:202

40.00 DP

In the Claims:

Please cancel Claims 8, 52 and 54-74 without prejudice.

Please replace claim 53 with the following corresponding amended claim:

53. (Amended) A method comprising the steps of:

identifying a group of securities;

separating the group of securities into a sector comprising a subset of the group of securities
within a substantially similar industry;

creating an open end fund having a number of outstanding shares and comprising of the
securities within the sector;

changing the securities comprising the sector;

changing the securities comprising the fund in response to the changing of the securities
comprising the sector;

trading the outstanding shares of the fund on an exchange at a real time determined price
related to the securities comprising the sector; and

outputting an indication of the real time determined price in a humanly readable format.

NE